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PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Receipt  
S13  
AB

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	58	Application No.	09/939,403
		Filing Date	August 23, 2001
		First Named Inventor	Liew C. Chiu
		Group Art Unit	2874
		Examiner Name	Not Assigned
		Attorney Docket Number	3918P017X

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">Request for Correction of Filing Receipt; copy of Filing Receipt; copy of Notice to file Missing Parts of Nonprovisional Application</div>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application		Remarks
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Julio Loza, Reg. No. 47,758 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 29, 2001

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 29, 2001

Typed or printed name	Pat Sullivan
Signature	
Date	November 29, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

O I P E  
JAN 14 2002  
P A T E N T  
T R A D E M A R K  
O F F I C EFEE TRANSMITTAL  
for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 65.00)

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor &amp; Zafman LLP

 Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20. Applicant claims small entity status.  
See 37 CFR 1.27.2.  Payment Enclosed: Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00)

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
		** =	9.00	\$0.00
		** =	42.00	\$0.00

Multiple Dependent

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00)

\*or number previously paid, if greater. For Reissues, see below

Complete if Known	
Application No.	09/939,403
Filing Date	August 23, 2001
First Named Inventor	Liew C. Chiu
Examiner Name	Not Assigned
Group/Art Unit	2874
Attorney Docket No.	3918P017X

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 65.00)

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Julio Loza	Registration No. (Attorney/Agent)	47,758
Signature	<i>Julio Loza</i>	Telephone	(714) 557-3800

Date 11/29/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

LIEW C. CHIU, ET AL.

Application No.: 09/939,403

Filed: August 23, 2001

For: **PULL-ACTION DE-LATCHING MECHANISMS FOR  
FIBER OPTIC MODULES**

Assistant Commissioner for Patents  
**Attention: Box Missing Parts**  
 Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Sir:

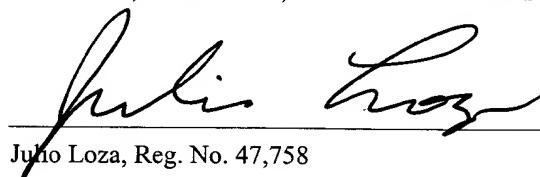
In response to the Notice to File Missing Parts mailed October 10, 2001, please find enclosed:

- a duly executed Declaration and Power of Attorney and payment in the amount of \$65.00 for the surcharge of 37 CFR § 1.16(e);
- substitute drawing in compliance with 37 CFR § 1.16(e);
- and
- copy of the Notice to file Missing Parts of Application.

If any additional fee is required, please charge Deposit Account No. 02-2666. An extra copy of the Fee Transmittal is enclosed for deposit account charging purposes.

Respectfully submitted,

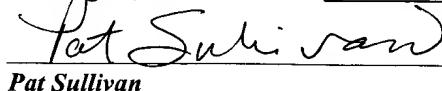
BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP



Julio Loza, Reg. No. 47,758

Dated: November 29, 200112400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Attention: Box Missing Parts, Washington, D.C. 20231 on: November 29, 2001.



Pat Sullivan

11/29/01

Date



#44

Our Docket No.: 3918P017X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Chiu et al.

Application No.: 09/939,403

Confirmation No.: 4302

Filed: August 23, 2001

For: PULL-ACTION DE-LATCHING  
MECHANISMS FOR FIBER OPTIC  
MODULES

Examiner: Unassigned

Art Group: 2874

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

We have received the Filing Receipt for the above-identified U.S. Patent Application (copy enclosed). Upon our review, we have discovered that the Total Claims count is incorrect. The Filing Receipt indicates the Total Claims count as 72.

The Total Claims filed in the above-referenced application are 80. Please correct your records to reflect the Total Claims count, and send us a corrected Filing Receipt.

3918P017X

Application No. 09/939,413

1

JML/phs

If there are any charges, please charge them to Account No. 02-2666. A duplicate copy of our Fee Transmittal is enclosed. Please direct all communications regarding this matter to the undersigned.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

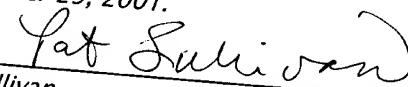
Dated: November 29, 2001

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

  
JULIO LOZA  
Reg. No. 47,758

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on: November 29, 2001.

  
Pat Sullivan  
11/29/2001

3918P017X  
Application No. 09/939,413

RWB



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/939,413	08/23/2001	2874	1095	3918P017X	50	72	8

## CONFIRMATION NO. 4302

08791  
 BLAKELY SOKOLOFF TAYLOR & ZAFMAN  
 12400 WILSHIRE BOULEVARD, SEVENTH FLOOR  
 LOS ANGELES, CA 90025

**RECEIVED**  
 OCT 15 2001

## FILING RECEIPT



1000000006877569\*

Date Mailed: 10/10/2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
 LOS ANGELES

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Liew C. Chiu, Singapore, SINGAPORE;  
 Ron C. Pang, Singapore, SINGAPORE;  
 Yong P. Sim, Singapore, SINGAPORE;  
 Kee S. Tan, Residence Not Provided;  
 Edwin Dair, Los Angeles, CA;

ENTERED

OCT 16 2001

STATUS DB-LA

RECEIVED

OCT 17 2001

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
 COSTA MESA

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/283,843 04/14/2001  
 AND A CIP OF 09/896,695 06/28/2001

## Foreign Applications

If Required, Foreign Filing License Granted 10/08/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

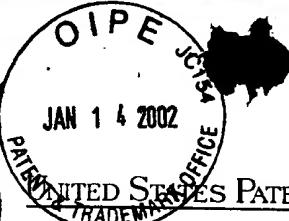
Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Pull-action de-latching mechanisms for fiber optic modules



UNITED STATES PATENT AND TRADEMARK OFFICE

Page 1 of 2 #3

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/939,413	08/23/2001	Liew C. Chiu	3918P017X

08791  
BLAKELY SOKOLOFF TAYLOR & ZAFMAN  
12400 WILSHIRE BOULEVARD, SEVENTH FLOOR  
LOS ANGELES, CA 90025

CONFIRMATION NO. 4302

FORMALITIES LETTER



\*OC000000006877570\*

Date Mailed: 10/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

~~01/17/2002 BABRAHAI 00000082 09939403~~

~~01-FC:205~~

~~65.00 DP~~

FILED UNDER 37 CFR 1.53(b)

~~Adjustment date: 01/18/2002 BABRAHAI~~

~~01/17/2002 BABRAHAI 00000082 09939403~~

~~01-FC:205~~

~~65.00 DP~~

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

~~01/18/2002 BABRAHAI 00000001 09939413~~

~~01 FC:205~~

~~65.00 DP~~

*A copy of this notice **MUST** be returned with the reply.*

*PJH*

Customer Service Center